



"People helping people help themselves"

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State of Indiana

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Bureau of Quality Improvement Services

COMPLIANCE EVALUATION AND REVIEW TOOL - GUIDE

NOTE: All references to "waiver application" refer to: Application for 1915(c) HCBS Waiver: IN.0378.R02.00 - Oct 01, 2009

Indicators/Probes	Review of Documents
<p>I. The Provider meets qualifications for waiver services being delivered.</p> <p>I.A.1 DDRS approval to provide services.</p> <p>Probes:</p> <p>I.A.1.1 Is the provider approved for providing all of the services they're currently providing? 460 IAC 6-5-2; 6-5-3; 6-5-4; 6-5-34; 6-5-11; 6-5-13; 6-5-15; 6-5-17; 6-5-18; 6-5-19; 6-5-20; 6-5-22; 6-5-23; 6-5-24; 6-5-26; 6-5-27; 6-5-28; 6-5-29; 6-5-30; 6-5-21; Service Definition and Documentation Standards (OA20081107); Bulletin October 2, 2009</p> <p>Does the provider meet minimum qualifications for each service on their list of "approved services"?</p> <p>I.A.2 Transportation</p> <p>Probes:</p> <p>I.A.28.1 Does the provider meet the requirements for transportation per 460 IAC 6-5-30 and 460 IAC 6-34?</p>	<p>Does the provider possess, and can the provider present to the surveyor, documentation that confirms the following qualifications for each identified service:</p> <p>ALL PROBES <u>MUST BE</u> MARKED 'MET', 'NOT MET', OR 'N/A'</p> <p>1. The provider shall produce an active provider agreement with DDRS documenting approval as a provider for this service, <u>only when</u> INsite lists this service as approved for this provider.</p> <ol style="list-style-type: none"> E.g., letter from FSSA approving services, copy of agreement. Verify approved services in INSITE prior to survey. Applicable for probes I.A.1.1-I.A.1.28. <p><u>Transportation</u></p> <p>The provider will produce:</p> <ul style="list-style-type: none"> documentation confirming that the provider is one of the following: <ul style="list-style-type: none"> a community mental retardation and other developmental disabilities center; or a community mental health center; or a child care center licensed pursuant to IC 12-17.2-2-4; or

<p>I.A.3 Adult Day Service</p> <p>Probes:</p>	<ul style="list-style-type: none"> ○ otherwise approved to provide a service or services under 460 IAC 6. • certification that any provider employee transporting individuals has the appropriate driver's license (operator's license; chauffeur's license; public passenger chauffeur's license; or commercial driver's license) to drive the type of motor vehicle for which the license was issued. • evidence that all vehicles used by the provider to transport individuals are: <ul style="list-style-type: none"> ○ maintained in good repair <ul style="list-style-type: none"> a. How does the provider assure? Seek evidence. ○ properly registered with the Indiana Bureau of Motor Vehicles; ○ insured as required under Indiana law. • documentation of liability insurance for all vehicles owned or leased by the provider to transport individuals covering: <ul style="list-style-type: none"> ○ Personal injury; ○ Loss of life; and ○ Property damage. <p>If the transportation requirements are not met and provider is providing one or more of the following service:</p> <p>I.A.2.1 – Adult Day Service I.A.7.1 – Community Based Habilitation – group I.A.8.1 – Community Based Habilitation – individual I.A.12.1 – Facility Based Habilitation – individual I.A.13.1 – Facility Based Habilitation – group I.A.14.1 – Facility Based Support Services I.A.23.1 – Residential Habilitation and Support I.A.27.1 – Supported Employment I.A.29.1 – Workplace Assistance</p> <p>The corresponding probe and indicator for these services will not be met. The surveyor can document the finding in the appropriate section as “SEE FINDING FOR I.A.2.1.”</p> <p><u>Adult Day Service</u></p> <ul style="list-style-type: none"> • The provider will produce current DDRS approval to provide adult day service under 460 IAC 6.
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I.A.3.1 Does the provider meet the requirements for adult day service per 460 IAC 6-5-2? (and waiver application requirement - pg. 61)

I.A.4 Adult Foster Care

Probes:

I.A.4.1 Does the provider meet the requirements for adult foster care at 460 IAC 6-5-3?

I.A.5 Behavioral Support Services. Level 1 Clinician

Probes: *(must meet ONLY ONE of the two requirements below)*

I.A.5.1 FOR APPROVALS DATED PRIOR TO JANUARY 1, 2003 ONLY, does the provider meet the requirements for behavioral support services at 460 IAC 6-5-4(a)?

I.A.5.2 For licensed psychologists, does the provider meet the requirements for behavioral support services at 460 IAC 6-5-4(b)?

I.A.6 Behavioral Support Services. Level 2 Clinician

- The provider will meet the requirements for transportation services per 460 IAC 6. (waiver application requirement - pg. 61) Use probes and documentation requirements found at service "Transportation".

Adult Foster Care

- The provider will produce current DDRS approval to provide a service or services under 460 IAC 6.

Behavioral Support Services. Level 1 Clinician (must meet ONLY ONE of the two requirements below)

(1st requirement)

- The provider will produce (relevant ONLY to approvals dated prior to January 1, 2003):
- at least a master's degree in: (i) a behavioral science; (ii) special education; or (iii) social work; and
- evidence of five (5) years of experience in: (i) working directly with individuals with developmental disabilities, including the devising, implementing, and monitoring of behavioral support plans; and (ii) the supervision and training of others in the implementation of behavioral support plans; and
- evidence of at least ten (10) continuing education hours related to the practice of behavioral support from a Category I sponsor as provided in 868 IAC 1.1-15, obtained during the last calendar year.

(2nd requirement)

The provider will produce:

- a psychologist license per IC25-33;
- a current endorsement as a Health Service Provider in Psychology per IC 25-33-1-5.1(c); and
- evidence of at least ten (10) continuing education hours related to the practice of behavioral support from a Category I sponsor as provided in 868 IAC 1.1-15, obtained during the last calendar year.

Behaviors Support Services. Level 2 Clinician

The provider will produce documentation confirming at least one of the

Probes:

I.A.6.1 Does the provider meet the requirements for behavioral support services, Level 2 clinician per 460 IAC 6-5-4(c)?

following requirements:

- have a master's degree in clinical psychology, counseling psychology, school psychology, or another applied health service area of psychology; or
- be a licensed marriage and family therapist licensed under IC 25-23.6; or
- be a licensed clinical social worker under IC 25-23.6; or
- be a licensed mental health counselor under IC 25-23.6; or
- have a master's degree in a human services field and be able to demonstrate to the BDDS behavior management committee that the individual has either coursework in or five (5) years of experience in devising, implementing, and monitoring behavior support plans.

The provider will produce documentation confirming the level 2 clinician is supervised by a Level 1 clinician.

The provider will produce documentation confirming one of the following:

- have documentation demonstrating either ten (10) continuing education hours related to the practice of behavioral supports annually for the past three years; or
- documentation of enrollment in a master's level program in clinical psychology, counseling psychology, school psychology, or another applied health services area of psychology, special education, or social work; or
- documentation of enrollment in a doctoral program in psychology.

Community based habilitation - group

The provider will produce evidence of:

- compliance with transportation requirements per 460 IAC 6-34 (Use probes and documentation requirements found at service "Transportation").

Community based habilitation - individual

The provider will produce evidence of:

- compliance with transportation requirements per 460 IAC 6-34 (Use probes

I.A.7 Community based habilitation - group.

Probes:

I.A.7.1 Does the provider meet Community based habilitation –group requirements? (waiver application requirement - pg. 100)

I.A.8 Community based habilitation - individual.

Probes:

<p>I.A.8.1 Does the provider meet community based habilitation - individual requirements? (waiver application requirement - pg. 104)</p> <p>I.A.9 Community transition.</p> <p>Probes: I.A.9.1 Does the provider meet the qualifications for community transition per 460 IAC 6-5-34?</p> <p>I.A.10 Electronic monitoring</p> <p>Probes: I.A.10.1 Does the provider meet electronic monitoring requirements? (waiver application requirement - pg 111)</p> <p>I.A.11 Environmental modification supports.</p> <p>Probes: I.A.11.1 Does the provider meet the qualifications for environmental modification supports per 460 IAC 6-5-11?</p> <p>I.A.12 Facility based habilitation - group.</p> <p>Probes: ; I.A.12.1 Does the provider meet the requirements for facility based habilitation - group? (waiver application requirement pg. 116)</p>	<p>and documentation requirements found at service “C”).</p> <p><u>Community transition</u></p> <p>The provider will produce an active provider agreement with DDRS documenting approval as a residential living allowance and management services.</p> <p><u>Electronic Monitoring</u></p> <p>The provider will produce evidence of:</p> <ul style="list-style-type: none"> • an active provider agreement with DDRS documenting approval as a residential habilitation and support provider; • Evidence that system was reviewed and approved by DDRS Director. <p><u>Environmental modifications supports</u></p> <p>The provider will produce an active license or certification for each type of environmental modification support service being provided:</p> <ul style="list-style-type: none"> • license: Home Inspector IC 25-20.2; Plumber IC 25-28.5; Physical Therapist IC 25-27-1; Speech/Language Therapist IC 25-35.6 • certification: Architect IC 25-4-1; Occupational Therapist IC 25-23.5 <p><u>Facility based habilitation - group</u></p> <p>The provider will produce evidence of:</p> <ul style="list-style-type: none"> • compliance with transportation requirements per 460 IAC 6-34 (Use probes and documentation requirements found at service “Transportation”). <p><u>Facility based habilitation – individual</u></p>
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<p>I.A.17 Music therapy.</p> <p>Probes: I.A.17.1 Does the provider meet the requirements for music therapy per 460 IAC 6-5-15?</p> <p>I.A.18 Occupational therapy.</p> <p>Probes: I.A.18.1 Does the provider meet the requirements for Occupational therapy per 460 IAC 6-5-17?</p> <p>I.A.19 Personal emergency response system supports.</p> <p>Probes: I.A.19.1 Does the provider meet the requirements for personal emergency response system supports per 460 IAC 6-5-18?</p> <p>I.A.20 Physical Therapy.</p> <p>Probes: I.A.20.1 Does the provider meet Physical therapy requirements per 460 IAC 6-5-19?</p> <p>I.A.21 Recreational therapy.</p> <p>Probes: I.A.21.1 Does the provider meet the requirements for recreational therapy per 460 IAC 6-5-22?</p> <p>I.A.22 Rent and food for unrelated live-in caregiver.</p>	<p>The provider will produce an active certification for each therapist by the National Association of Music Therapists.</p> <p><u>Occupational therapy</u></p> <p>The provider will produce an active certification for:</p> <ul style="list-style-type: none"> • occupational therapists providing services, per IC 25-23.5; • occupational therapy assistants providing services, per IC 25-23.5-5; • occupational therapy aides providing services, per IC 25-23.5-1-5.5 and 844 IAC 10-6. <p><u>Personal emergency response system supports</u></p> <p>The provider will be licensed, certified, registered or otherwise properly qualified under federal, state or local laws.</p> <p><u>Physical Therapy</u></p> <p>The provider will produce:</p> <ul style="list-style-type: none"> • an active license per IC 25-27-1 for each physical therapist providing services; and • an active certification per IC 25-27-1 for each physical therapy assistant providing services. <p><u>Recreational Therapy</u></p> <p>The provider will produce an active recreational therapy certification from the Council for Therapeutic Recreation.</p> <p><u>Rent and food for unrelated live-in caregiver</u></p>
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<p>Probes: I.A.22.1 Is Does the provider meet the requirements for rent and food for unrelated live-in caregiver per 460 IAC 6-5-23?</p> <p>I.A.23 Residential habilitation and support.</p> <p>Probes: I.A.23.1 Does the provider meet the requirements for residential habilitation and support per 460 IAC 6-5-24? (& waiver application requirement pg. 70)</p> <p>I.A.24 Respite.</p> <p>Probes: I.A.24.1 Does the provider meet the requirements for respite per 460 IAC 6-5-26? (& waiver application requirement - pg. 73)</p> <p>I.A.25 Specialized medical equipment & supplies.</p> <p>Probes: I.A.25.1 Does the provider meet the requirements for specialized medical equipment & supplies per 460 IAC 6-5-27?</p>	<p>The provider will produce an active provider agreement with DDRS documenting approval as a Residential Habilitation and Supports provider.</p> <p><u>Residential habilitation and support</u></p> <p>The provider will produce evidence of:</p> <ul style="list-style-type: none"> • compliance with health care coordination requirements per 460 IAC 6-5-14 (RN &/or LPN staff with licenses per IC 25-23-1); • compliance with transportation requirements per 460 IAC 6-34 (Use probes and documentation requirements found at service “Transportation”). <p><u>Respite</u></p> <p>The provider will:</p> <ul style="list-style-type: none"> • produce documentation confirming the provider as one of the following: <ul style="list-style-type: none"> ○ a home health agency; ○ a currently DDRS approved adult day services provider; or ○ an entity providing DDRS approved residential services to unrelated individuals, and • meet requirements for health care coordination per 460 IAC 6-5-14 - produce evidence of RN &/or LPN staff with licenses per IC 25-23-1, and • when a home health agency, in addition to #1 & #2 above: <ul style="list-style-type: none"> ○ produce a home health agency license per IC 16-27-1; and ○ produce evidence that their home health aides are registered per IC 16-27-1.5? <p><u>Specialized medical equipment & supplies</u></p> <p>The provider will produce a license, certificate, registration, or other proper qualification required under federal, state, or local laws applicable to the particular service that the applicant is performing.</p> <p><u>Speech-Language therapy</u></p>
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I.A.26 Speech-Language therapy

Probes:

I.A.26.1 Does the provider meet the Speech-language provider qualifications per 460 IAC 6-5-28?

The provider will produce:

- a current speech-language license per IC 25-35.6 for any speech-language pathologist providing services;
- documentation confirming any speech-language aide providing services conforms to the definition at IC 25-35.6-1-2; and
- a current registration for any speech language aide providing services per 880 IAC 1-2.

I.A.27 Supported employment.

Probes:

I.A.27.1 Does the provider meet the requirements for supported employment per 460 IAC 6-5-29? (& waiver application pg. 79)

Supported employment

- The provider will provide documentation confirming accreditation, or application for accreditation, from one of the following:
 - The Commission on Accreditation of Rehabilitation Facilities (CARF) or its successor;
 - The Council on Quality and Leadership in Supports for People with Disabilities or its successor;
 - The Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or its successor;
 - The National Commission on Quality Assurance or its successor; or
 - An independent national accreditation organization approved by the secretary.
- The provider will meet the requirements for transportation per 460 IAC 6-34? Use probes and documentation requirements found at service "Transportation".

I.A.28 Therapy (psychological) services.

Probes:

I.A.28.1 Does the provider meet requirements for therapy services (psychological) requirements per 460 IAC 6-5-21?

Therapy (psychological) services

The provider will produce documents confirming the provider is one of the following:

- a psychologist licensed under IC 25-33-1 having an endorsement as a health service provider in psychology pursuant to IC 25-33-1-5.1(c);
- a marriage and family therapist licensed under IC 25-23.6;
- a clinical social worker licensed under IC 25-23.6; or
- a mental health counselor licensed under IC 25-23.6.

<p>I.A.29 Workplace assistance</p> <p><i>Probes:</i></p> <p>I.A.29.1 Does the provider meet the workplace assistance requirements? (waiver application requirement - pg. 145)</p> <p>I.A.30 Insurance</p> <p><i>Probes:</i></p> <p>I.A.30.1 Does the provider have an active insurance policy that covers personal injury to an individual? 460 IAC 6-12-2(1)</p> <p>I.A.30.2 Does the provider have an active insurance policy that covers loss of life to an individual? 460 IAC 6-12-2(2)</p> <p>I.A.30.3 Does the provider have an active insurance policy that covers property damage to an individual? 460 IAC 6-12-2(3)</p>	<p><u>Workplace assistance</u></p> <p>The provider will meet the requirements for transportation per 460 IAC 6-34? Use probes and documentation requirements found at service “Transportation”.</p>
<p>II. The provider has policies and procedures to ensure the rights of Individuals, to direct appropriate services, and to support and manage employees.</p> <p>II.A.1 Provider complaint procedure:</p> <p><i>Probes:</i></p> <p>II.A.1.1 Does the provider have a written procedure for handling complaints from individuals receiving services? 460 IAC 6-8-3(5)(B)</p> <p>II.A.1.2 Does the written complaint procedure include components for processing and decision making? 460 IAC 6-8-3(4)</p>	

<p>II.A.1.3 Does the written procedure mandate processing and decision making within two weeks of receiving the complaint? 460 IAC 6-8-3(4)</p> <p>II.A.1.4 Does the written procedure for complaints include methods for informing individuals of the complaint procedure in writing, and in the individual's usual mode of communication? 460 IAC 6-8-3(5)</p> <p>II.A.2 Written procedure for provider or employee/agent to report abuse, neglect, exploitation and mistreatment</p> <p>Probes:</p> <p>II.A.2.1 Does the provider have a written procedure outlining responsibilities for the provider and the provider's employees and/or agents to report situations of abuse, neglect, exploitation, and mistreatment? 460 IAC 6-9-2(a)</p> <p>II.A.3 Written procedures for prohibiting violations of individual rights:</p> <p>Probes:</p> <p>II.A.3.1 Does the provider have a written policies and procedures that prohibits its employees and/or agents from abusing, neglecting, exploiting, and mistreating individuals? 460 IAC 6-9-3(b)(1)</p> <p>II.A.3.2 Does the provider have a written policies and procedures that prohibits its employees and/or agents from violating an individual's rights? 460 IAC 6-9-3(b)(2)</p> <p>II.A.3.3 Do the provider's written policies and procedures include prohibitions against corporal punishment? 460 IAC 6-9-3(c)(1)</p> <p>II.A.3.4 Do the provider's written policies and procedures include</p>	<p><u>Written procedures for prohibiting violations of individual rights</u></p> <p>Exceptions:</p> <ul style="list-style-type: none"> • the provider has obtained a certificate from the United States Department of Labor authorizing the employment of workers with a disability at special minimum wage rates; • the services are being performed by an individual in the individual's own residence as a normal and customary part of housekeeping and maintenance duties; or • an individual desires to perform volunteer work in the community. 460 IAC 6-9-3(c)(5)
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<p>prohibitions against forced physical activity? 460 IAC 6-9-3(c)(1)(A)</p> <p>II.A.3.5 Do the provider's written policies and procedures include prohibitions against hitting? 460 IAC 6-9-3(c)(1)(B)</p> <p>II.A.3.6 Do the provider's written policies and procedures include prohibitions against pinching? 460 IAC 6-9-3(c)(1)(C)</p> <p>II.A.3.7 Do the provider's written policies and procedures include prohibitions against the application of painful or noxious stimuli? 460 IAC 6-9-3(c)(1)(D)</p> <p>II.A.3.8 Do the provider's written policies and procedures include prohibitions against the use of electric shock? 460 IAC 6-9-3(c)(1)(E)</p> <p>II.A.3.9 Do the provider's written policies and procedures include prohibitions against the infliction of physical pain? 460 IAC 6-9-3(c)(1)(F)</p> <p>II.A.3.10 Do the provider's written policies and procedures include prohibitions against seclusion alone in an area from which exit is prohibited? 460 IAC 6-9-3(c)(2)</p> <p>II.A.3.11 Do the provider's written policies and procedures include prohibitions against verbal abuse? 460 IAC 6-9-3(c)(3)</p> <p>II.A.3.12 Do the provider's written policies and procedures include prohibitions against a practice which denies the individual sleep?; 460 IAC 6-9-3(c)(4)(A)</p> <p>II.A.3.13 Do the provider's written policies and procedures include prohibitions against a practice which denies the individual shelter? 460 IAC 6-9-3(c)(4)(B)</p> <p>II.A.3.14 Do the provider's written policies and procedures include prohibitions against a practice which denies the individual food or drink? 460 IAC 6-9-3(c)(4)(C) & (D)</p>	
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II.A.3.15 Do the provider's written policies and procedures include prohibitions against a practice which denies the individual physical movement for long periods of time? 460 IAC 6-9-3(c)(4)(E)

II.A.3.16 Do the provider's written policies and procedures include prohibitions against a practice which denies the individual use of bathroom facilities? 460 IAC 6-9-3(c)(4)(G)

II.A.3.17 Do the provider's written policies and procedures include prohibitions against a practice which denies the individual work or chores benefiting others without pay or pay below minimum wage?

II.A.4 Written procedure for informing the individual of service and health status

Probes:

II.A.4.1 Does the provider have a written procedure for informing the individual on a regular basis as specified by the individual's ISP of the individual's medical condition? 460 IAC 6-9-4(b)(1)

II.A.4.2 Does the provider have a written procedure for informing the individual on a regular basis as specified by the individual's ISP of the individual's developmental status? 460 IAC 6-9-4(b)(2)

II.A.4.3 Does the provider have a written procedure for informing the individual on a regular basis as specified by the individual's ISP of the individual's behavioral status? 460 IAC 6-9-4(b)(2)

II.A.4.4 Does the provider have a written procedure for informing the individual on a regular basis as specified by the individual's ISP of the individual's right to refuse treatment? 460 IAC 6-9-4(b)(2)

II.A.5 Protocol to ensure individual freedoms

Probes:

<p>II.A.5.1 Except for OT, PT, music therapy and speech-language therapy providers, do all other providers have a written protocol for ensuring that an individual is free from unnecessary medications and restraints? 460 IAC 6-9-4(c)</p> <p>II.A.5.2 Except for OT, PT, music therapy and speech-language therapy providers, do all other provider have a written protocol for reducing an individual's dependence on medications and restraints? 460 IAC 6-9-4(d)</p> <p>II.A.5.3 Does the provider have a written procedure to ensure an individual has the opportunity for personal privacy? 460 IAC 6-9-4(e)</p> <p>II.A.5.4 Does the provider have a written procedure to ensure an individual is not compelled to provide services for a provider? 460 IAC 6-9-4(f)(1)</p> <p>II.A.5.5 Does the provider have a written procedure to ensure that an individual who works voluntarily for a provider is compensated at the prevailing wage, and commensurate with the individual's abilities? 460 IAC 6-9-4(f)(2)</p> <p>II.A.5.6 Does the provider have a written procedure to ensure an individual has the opportunity to communicate, associate, and meet privately with persons of the individual's choosing? 460 IAC 6-9-4(g)(1)</p> <p>II.A.5.7 Does the provider have a written procedure to ensure an individual has the means to send and receive unopened mail? 460 IAC 6-9-4(f)(2)</p> <p>II.A.5.8 Does the provider have a written procedure to ensure an individual has access to a telephone with privacy for incoming and outgoing local and long distance calls at the individual's expense? 460 IAC 6-9-4(f)(3)</p> <p>II.A.5.9 Does the provider have a written procedure for providing an</p>	
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<p>individual with the opportunity to participate in social, religious and community activities? 460 IAC 6-9-4(h)</p> <p>II.A.5.10 Does the provider have a written procedure that ensures an individual the right to retain and use appropriate personal possessions and clothing? 460 IAC 6-9-4(i)</p> <p>II.A.5.11 Does the provider have a written procedure to protect an individual's funds and property from misuse or misappropriations? 460 IAC 6-9-4(j)</p> <p>II.A.5.12 Does the provider have a written procedure for conducting and participating in an investigation of an alleged violation of an individual's rights or reportable incident? 460 IAC 6-9-4(k)</p> <p>II.A.5.13 Does the provider's procedure for investigating rights violations and incidents include immediate necessary steps to protect an individual who has been the victim of abuse, neglect, exploitation or mistreatment from further abuse, neglect exploitation or mistreatment? 460 IAC 6-9-4(k)</p> <p>II.A.5.14 Does the provider have a written procedure for administrative action against, disciplinary action against, and dismissal of an employee or agent of the provider if the employee or agent is involved in the abuse, neglect, exploitation or mistreatment of an individual, or a violation of an individual's rights? 460 IAC 6-9-5(l)</p> <p>II.A.5.15 Does the provider have a written procedure for employees or agents of the provider to report violations of the provider's policies and procedures to the provider?</p> <p>II.A.5.16 Does the provider have a written procedure for reporting situations of abuse, neglect, exploitation, and mistreatment, include reporting to the individual's legal representative, case manager, and APS/CPS, as applicable? 460 IAC 6-9-4(n)</p>	
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II.A.5.17 Does the provider have a written procedure for reporting incidents to BDDS in accordance with the BDDS policy on Incident Reporting? 460 IAC 6-9-4(o)

II.A.5.18 Does the provider's written incident reporting policy include listing of all incidents identified for mandatory reporting in the BDDS incident reporting policy? 460 IAC 6-9-5(a)

II.A.6 Provider Organizational Chart

Probes:

II.A.6.1 Does the provider have a current organizational chart that includes parent organizations and subsidiary organizations?

II.A.7 Written personnel policy:

Probes:

II.A.7.1 Does the provider have a written personnel policy? 460 IAC 6-16-2(a)(1)

II.A.7.2 Is the policy reviewed and updated as appropriate?

II.A.7.3 Is there evidence that the policy is distributed to the provider's employees and agents?

II.A.7.4 Does the provider's written personnel policy contain a written job description for each position? 460 IAC 6-16-2(b)(1)

II.A.7.5 Does each job description in the provider's written personnel policy include: Minimum qualifications for the position; 460 IAC 6-16-2(b)(1)(A);

II.A.7.6 Major duties required of the position; 460 IAC 6-16-2(b)(1)(B)

<p>II.A.7.7 Responsibilities of the employee/agent in the position; 460 IAC 6-16-2(b)(1)(C)</p> <p>II.A.7.8 Title of the supervisor to whom the employee/agent must report. 460 IAC 6-16-2(b)(1)(D)</p> <p>II.A.7.9 Does the provider provide the applicable job description to each employee/agent? 460 IAC 6-16-2(a)(3)</p> <p>II.A.7.10 Does the provider's written personnel policy contain a procedure for conducting reference checks? 460 IAC 6-16-2(b)(2)</p> <p>II.A.7.11 Does the provider's written personnel policy contain a procedure for conducting employment checks? 460 IAC 6-16-2(b)(2)</p> <p>II.A.7.12 Does the provider's written personnel policy contain a procedure for conducting criminal background checks? 460 IAC 6-16-2(b)(2)</p> <p>II.A.7.13 Does the provider's written personnel policy include the Indiana central repository as a required source for limited criminal history background requests for each provider employee, officer or agent? 460 IAC 6-10-5(a); 460 IAC 6-16-2(b)(2)</p> <p>II.A.7.14 Does the provider's written personnel policy include, limited to hires after Oct. 1, 2003, each county the provider employee, officer or agent resided in during the 3 years prior to initiating the limited criminal history check, as additional required sources for the limited criminal history? 460 IAC 6-10-5(c); 460 IAC 6-16-2(b)(2)</p> <p>II.A.7.15 Does the provider's written personnel policy prohibit the employment of or contract with a person convicted of: 460 IAC 6-10-5(b); 460 IAC 6-16-2(b)(3)</p> <ul style="list-style-type: none"> • Sex crime; • exploitation of an endangered adult; • failure to report battery, neglect, or exploitation of an 	
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- endangered adult;
- abuse or neglect of a child; theft ,if the conviction occurred less than ten (10) years before the person’s employment application date;
- murder;
- voluntary manslaughter;
- involuntary manslaughter;
- felony battery;
- felony offense related to a controlled substance

II.A.7.16 Does the provider’s written personnel policy contain a process for evaluating the job performance of each employee and/or agent at the end of their training period and annually thereafter? 460 IAC 6-16-2(b)(4)

II.A.7.17 Does the provider’s written personnel policy contain a process for evaluating the job performance of each employee and/or agent that includes feedback from individuals receiving services from the employee and/or agent? 460 IAC 6-16-2(b)(4)

II.A.7.18 Does the provider’s written personnel policy include disciplinary procedures for the provider’s employees and/or agents? IAC 6-16-2(b)(5)

II.A.7.19 Does the provider’s written personnel policy contain a description of the grounds for disciplinary action against or dismissal of an employee or agent? 460 IAC 6-16-2(b)(6)

II.A.7.20 Does the provider’s written personnel policy contain a description of the rights and responsibilities of employees or agents, including the responsibilities of administrators and supervisors? 460 IAC 6-16-2(b)(7)

II.A.8 Written training procedure

<p>Probes:</p> <p>II.A.8.1 Does the provider have a written training procedure? 460 IAC 6-16-3(a)(1)</p> <p>II.A.8.2 Is the training procedure reviewed and updated as appropriate? 460 IAC 6-16-3(a)(2)</p> <p>II.A.8.3 Does the provider distribute the training procedure to its employees and agents? 460 IAC 6-16-3(a)(3)</p> <p>II.A.8.4 Does the provider's written training procedure include mandatory orientation for each new employee/agent to assure the employee/agent's understanding of and compliance with the mission, goals, organization and practices of the provider? 460 IAC 6-16-3(b)(1)</p> <p>II.A.8.5 Does the provider's written training procedure include a system for documenting the training for each employee/agent including the type of training? 460 IAC 6-16-3(b)(2)(A)</p> <p>II.A.8.6 Does the provider's written training procedure include a system for documenting the training for each employee/agent including the name and qualifications of the trainer? 460 IAC 6-16-3(b)(2)(B)</p> <p>II.A.8.7 Does the provider's written training procedure include a system for documenting the training for each employee/agent including the duration of the training? 460 IAC 6-16-3(b)(2)(C)</p> <p>II.A.8.8 Does the provider's written training procedure include a system for documenting the training for each employee/agent including the date or dates of training? 460 IAC 6-16-3(b)(2)(D)</p> <p>II.A.8.9 Does the provider's written training procedure include a system for documenting the training for each employee/agent including the signature of the trainer verifying satisfactory completion of the training by the employee/agent? 460 IAC 6-16-3(b)(2)(E)</p>	
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II.A.8.10 Does the provider's written training procedure include a system for documenting the training for each employee/agent including the signature of the employee/agent? 460 IAC 6-16-3(b)(2)(F)

II.A.8.11 Does the provider's written training procedure include a system for ensuring that a trainer has sufficient education, expertise, and knowledge of the subject to achieve the listed outcomes under the system? 460 IAC 6-16-3(b)(3)

II.A.8.12 Does the provider's written training procedure include a system for providing annual in-service training to improve the competency of employees/agents in protection of individual rights, including the protection against abuse, neglect, or exploitation? 460 IAC 6-16-3(b)(4)(A)

II.A.8.13 Does the provider's written training procedure include a system for providing annual in-service training to improve the competency of employees/agents in incident reporting? 460 IAC 6-16-3(b)(4)(B)

II.A.8.14 Does the provider's written training procedure include a system for providing annual in-service training to improve the competency of employees/agents in medication administration, if the provider administers medication to an individual? 460 IAC 6-16-3(b)(4)(C)

II.A.9 Written policies and procedures that limit the use of restrictive procedures - applicable to Behavioral Support Services providers ONLY

Probes:

II.A.9.1 Does the provider have written policies and procedures that limit the use of restrictive procedures, including physical restraint or medication? 460 IAC 6-18-3(1)

II.A.9.2 Does the provider have written policies and procedures that focus on behavioral supports that begin with less restrictive/intrusive methods

<p>before more intrusive/restrictive methods are used? 460 IAC 6-18-3(2)</p> <p>II.A.10 Conflicts of interest & ethics</p> <p>Probes:</p> <p>II.A.10.1 Does the provider have policies and procedures regarding conflicts of interest?</p> <p>II.A.10.2 Does the provider's policy regarding conflicts of interest require disclosure of possible conflicts of interest by all of the provider's employees or agents?</p> <p>II.A.10.3 Does the provider have policies and procedures regarding a code of ethics for agents and employees?</p>	
<p>III. The provider maintains employee information confirming key health, welfare and training issues.</p> <p>III.A.1 Files for each employee or agent of the provider</p> <p>Probes:</p> <p>III.A.1.1 Does the provider maintain files for each employee or agent in the provider's office?</p> <p>III.A.1.2 Do the provider's employee or agents files contain a negative TB screening dated prior to the employee providing services for all employees/agents including administrative and clerical staff? 460 IAC 6-15-2(b)(1)</p> <p>III.A.1.3 Do the provider's employee or agents files contain a record of current CPR certification by the American Red Cross, the American Heart Association, or another nationally recognized entity that utilizes on-site supervised practice/testing training. 460 IAC 6-15-2(b)(2);</p>	<p>Electronic records are acceptable.</p> <p><u>Files for each employee or agent of the provider</u></p> <p>The provider will produce evidence of negative results from TB screening. This item applies to all employees/agents, including administrative and clerical staff. The most common type of documentation for this item is a signed and dated statement from the health department or other entity authorized to screen for TB. Evidence of a negative chest x-ray is required for individuals with a positive skin test, followed by annual symptom screenings by a licensed medical professional. A health screening signed by a licensed medical professional is required in the case of pregnancy.</p>

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III.A.1.4 Do the provider's employee or agents files have a criminal background check from the Indiana State Police Central Repository for Criminal History prior to start date of employment? 460IAC 6-10-5(a); 6-15-2(a)(4)

III.A.1.5 For employees/agent hired after October 1, 2003, does the provider have a criminal background check for each county of residence of the employee/agent in the three (3) years prior to the background check? 460 IAC 6-10-5(c); 6-15-2(a)(4)

III.A.1.6 Are criminal background checks for provider employees, officers or agents free of findings that include: 460 IAC 6-10-5(b)(1)

- Sex crime;
- exploitation of an endangered adult;
- failure to report battery, neglect, or exploitation of an endangered adult;
- abuse or neglect of a child; theft ,if the conviction occurred less than ten (10) years before the person's employment application date;
- murder;
- voluntary manslaughter;
- involuntary manslaughter;
- felony battery;
- felony offense related to a controlled substance

III.A.1.7 Are criminal background checks for provider DIRECT SERVICE STAFF ONLY free of evidence of a finding entered into the state nurse aide registry? 460IAC 6-10-5(d)

III.A.1.8 Does the provider maintain a copy of a current driver's license for each employee/agent who transports individuals in a motor vehicle in

The most common type of documentation for this item is a copy of the page with the alphabet range in which the employee's name would be located if there were a finding in the registry.

<p>the provider's employee or agents' file? 460 IAC 6-15-2(b)(6)</p> <p>III.A.1.9 Do the provider's employee or agent files contain have evidence of current licensure, certification or registration for employees and/or agents whose job duties require such? 460 IAC 6-15-2(b)(5)</p> <p>III.A.1.10 Do the provider's employees or agents who transport individuals in their personal automobiles, have proof of current automobile insurance included in their files? 460 IAC 6-15-2(b)(6)</p> <p>III.A.1.11 Do the provider's employee or agent files contain copies of the employee or agent's time records? 460 IAC 6-15-2(b)(7)(A)</p> <p>III.A.1.12 Do the provider's employee or agent files contain copies of the agent's invoices for services? 460 IAC 6-15-2(b)(7)(B)</p> <p>III.A.1.13 Do the provider's employee or agent files contain copies of the agenda for each training session attended by the employee or agent including the subject matter? 460 IAC 6-15-2(b)(8)(A)</p> <p>III.A.1.14 Do the provider's employee or agent files contain copies of the agenda for each training session attended by the employee or agent including the date and time of each training session? 460 IAC 6-15-2(b)(8)(B)</p> <p>III.A.1.15 Do the provider's employee or agent files contain copies of the agenda for each training session attended by the employee or agent including the name of the person or persons conducting each training session? 460 IAC 6-15-2(b)(8)(C)</p> <p>III.A.1.16 Do the provider's employee or agent files contain copies of the agenda for each training session attended by the employee or agent including documentation of the employee's or agent's attendance at each training session, signed by the employee or agent? 460 IAC 6-15-2(b)(8)(D)(i)</p>	<p>The provider will produce copies of current licenses, certifications and registrations for employees and/or agents providing services requiring such license, certifications or registration. Nurses, therapists and plumbers are examples of such employees.</p> <p>Verification of electronic records are acceptable.</p> <p>It is recognized that some types of training may be provided by an outside source for which the required documentation cannot be obtained (i.e. long distance learning, automated training, etc.). It is expected the provider will obtain as much required documentation as possible in these circumstances.</p>
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III.A.1.17 Do the provider's employee or agent files contain copies of the agenda for each training session attended by the employee or agent including documentation of the employee's or agent's attendance at each training session, signed by the trainer? 460 IAC 6-15-2(b)(8)(D)(ii)

III.A.1.18 Do the provider's files contain documentation of training for each employee/agent on individual rights, including respecting the dignity of an individual? 460 IAC 6-14-4(a)(1)

III.A.1.19 Do the provider's files contain documentation of training for each employee/agent on individual rights, including protecting an individual from abuse, neglect and exploitation? 460 IAC 6-14-4(a)(2)

III.A.1.20 Do the provider's files contain documentation of training for each employee/agent on implementing person centered planning and an individual's ISP? 460 IAC 6-14-4(a)(3)

III.A.1.21 Do the provider's files contain documentation of training for each employee/agent on communicating successfully with an individual? 460 IAC 6-14-4(a)(4)

III.A.1.22 For providers that develop training outcomes and objectives for an individual, do the provider's files contain documentation of training on selecting specific objectives? 460 IAC 6-14-4(b)(1)

III.A.1.23 For providers that develop training outcomes and objectives for an individual, do the provider's files contain documentation of training on completing task analysis? 460 IAC 6-14-4(b)(2)

III.A.1.24 For providers that develop training outcomes and objectives for an individual, do the provider's files contain documentation of training on appropriate locations for instruction? 460 IAC 6-14-4(b)(3)

III.A.1.25 For providers that develop training outcomes and objectives for an individual, do the provider's files contain documentation of training on

appropriate documentation of an individual's progress on outcomes and objectives? 460 IAC 6-14-4(b)(4)

III.B.1 Documentation of Training completed before employee begins working with an individual (For direct-care staff)

Probes:

III.B.1.1 For provider's direct care staff who administer medication, does the employee or agent file contain documentation of training administering medication? 460 IAC 6-14-4(c)(1)

III.B.1.2 For provider's direct care staff who administer medication, does the employee or agent file contain documentation of training on monitoring side effects of medication? 460 IAC 6-14-4(C)(1)

III.B.1.3 For provider's direct care staff who administer medication, does the employee or agent file contain documentation of training on recognizing and preventing dangerous medication interactions? 460 IAC 6-14-4(C)(1)

III.B.1.4 Do the provider's direct care staff files contain documentation of training on administering first aid? 460 IAC 6-14-4(C)(2)

III.B.1.5 Do the provider's direct care employee or agent files contain documentation of training on practicing infection control and universal precautions? 460 IAC 6-14-4(C)(4) & (5)

III.B.1.6 Do the provider's direct care employee or agent files contain

Training must be completed prior to working with individuals (required for all direct care staff questions).

<p>documentation of training on managing individual specific treatments and interventions? 460 IAC 6-14-4(C)(6)</p> <p>III.B.1.7 Do the provider's direct care employee or agent files contain documentation of training managing seizures? 460 IAC 6-14-4(C)(6)(A)</p> <p>III.B.1.8 Do the provider's direct care employee or agent files contain documentation of training on managing behavior? 460 IAC 6-14-4(C)(6)(B)</p> <p>III.B.1.9 Do the provider's direct care employee or agent files contain documentation of training on managing medication side effects? 460 IAC 6-14-4(C)(6)(C)</p> <p>III.B.1.10 Do the provider's direct care employee or agent files contain documentation of training on managing diet and nutrition? 460 IAC 6-14-4(C)(6)(D)</p> <p>III.B.1.11 Do the provider's direct care employee or agent files contain documentation of training on managing swallowing difficulties? 460 IAC 6-14-4(C)(6)(E)</p> <p>III.B.1.12 Do the provider's direct care employee or agent files contain documentation of training on managing emotional and physical crises? 460 IAC 6-14-4(C)(6)(F)</p> <p>III.B.1.13 Do the provider's direct care employee or agent files contain documentation of training on managing significant health concerns? 460 IAC 6-14-4(C)(6)(G)</p> <p>III.B.1.14 Do the provider's direct care employee or agent files contain documentation of training on conducting and participating in emergency drills and evacuations? 460 IAC 6-14-4(C)(7)</p>	
<p>IV. Quality assurance/quality improvement</p> <p>IV.A.1 Internal Quality assurance/quality improvement system focused</p>	

on the individual

Probes:

IV.A.1.1 Does the provider conduct a survey of individual satisfaction with services being provided by the agency on an annual basis? 460 IAC 6-10-10(b)(1)

IV.A.1.2 Does the provider have evidence that the results of the annual survey were compiled? 460 IAC 6-10-10(b)(2)

IV.A.1.3 Does the provider have evidence of efforts to improve services in response to the annual survey of individual satisfaction?

IV.A.1.4 Does the provider have a system to assess the: appropriateness; and effectiveness, of each service provided to an individual?

IV.A.1.5 Does the provider have a process for analyzing data concerning reportable incidents? 460 IAC 6-10-10(b)(5)(A)

IV.A.1.6 Does the provider have a process for developing recommendations to reduce the risk of future incidents? 460 IAC 6-10-10(b)(5)(B)

IV.A.1.7 Does the provider have a process for reviewing recommendations to assess their effectiveness? 460 IAC 6-10-10(b)(5)(C)

IV.A.1.8 For providers who administer medication to individuals, does the provider have a process for analyzing medication errors? 460 IAC 6-10-10(b)(6)(A)

IV.A.1.9 For providers who administer medication to individuals, does the provider have a process for developing recommendations to reduce the risk of future medication errors? 460 IAC 6-10-10(b)(6)(B)

IV.A.1.10 For providers who administer medication to individuals, does

<p>the provider have a process for reviewing the recommendations to assess their effectiveness? 460 IAC 6-10-10(b)(6)(C)</p> <p>IV.A.1.11 For providers providing behavioral support services, does the provider have a process for analyzing the appropriateness and effectiveness of behavioral support techniques used for an individual? 460 IAC 6-10-10(b)(7)(A)</p> <p>IV.A.1.12 For providers providing behavioral support services, does the provider have a process for developing recommendations concerning the behavioral support techniques used with and individual? 460 IAC 6-10-10(b)(7)(B)</p> <p>IV.A.1.13 For providers providing behavioral support services, does the provider have a process for reviewing the recommendations to assess their effectiveness? 460 IAC 6-10-10(b)(7)(C)</p> <p>IV.A.1.14 For providers providing residential habilitation and support services, does the provider have a system for analyzing the appropriateness and effectiveness of the instructional techniques used with an individual? 460 IAC 6-10-10(b)(8)(A)</p> <p>IV.A.1.15 For providers providing residential habilitation and support services, does the provider have a system for developing recommendations concerning the instructional techniques used for an individual? 460 IAC 6-10-10(b)(8)(B)</p> <p>IV.A.1.16 For providers providing residential habilitation and support services, does the provider have a system for reviewing the recommendations to assess their effectiveness? 460 IAC 6-10-10(b)(8)(C)</p>	
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